

08/30/00
JC916 U.S. PTO

08-31-00

PATENT
Attorney Docket No.: UM-04594

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

A

Box Patent Application
Assistant Commissioner For Patents
Washington, D.C. 20231

NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of Peter A. Ward, Markus Huber-Lang and Vidya Sarma for **Compositions And Methods For The Treatment Of Sepsis**.

CERTIFICATION UNDER 37 C.F.R. § 1.10

I hereby certify that this New Application Transmittal and the documents referred to as enclosed therein are being deposited with the U.S. Postal Service on this date **August 30, 2000** in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number **EL512053622** addressed to: **Box Patent Application**, Assistant Commissioner For Patents, Washington, D.C. 20231.

Traci E. Light
Traci E. Light

1. **Type Of Application**
This new application is for a(n)
☒ Original (nonprovisional)
☒ Continuation-In-Part (C-I-P).
2. **Benefit Of Prior U.S. Application(s)** (35 U.S.C. §§ 119(e), 120, or 121)
☒ The new application being transmitted claims the benefit of prior U.S. application(s) and enclosed are **ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED**.
3. **Papers Enclosed That Are Required For Filing Date Under 37 C.F.R. § 1.53(b) (Regular) or 37 C.F.R. § 1.153 (Design) Application**
55 Pages of Specification
1 Pages of Claims
1 Page of Abstract
22 Sheets of Informal Drawings
4. **Declaration**
☒ Enclosed
☒ Unexecuted.
5. **Inventorship Statement**
The inventorship for all the claims in this application is:
☒ the same
6. **Language**
☒ English
7. **Assignment**
☒ An assignment of the invention to **The Regents of The University of Michigan** is attached.
☒ Form PTO-1595 will follow.
8. **Fee Calculation (37 C.F.R. § 1.16)**
☒ Regular application

CLAIMS AS FILED

Number Filed	Number Extra	Rate	Basic Fee - \$690.00 (37 C.F.R. § 1.16(a))
Total Claims (37 C.F.R. § 1.16(c))	10 - 20 =	0 × \$18.00 =	\$0.00
Independent Claims (37 C.F.R. § 1.16(b))	1 - 3 =	0 × \$78.00 =	\$0.00
Multiple Dependent Claim(s), if any (37 C.F.R. § 1.16(d))		+ \$260.00 =	\$0.00
Filing Fee Calculation			\$690.00

JC962 U.S. PTO
09/651685
08/30/00

9. Small Entity Statement(s)

- ☒ Verified Statement(s) that this is a filing by a small entity under 37 C.F.R. §§ 1.9 and 1.27 is(are) attached.

Filing Fee Calculation (50% of above) \$345.00

10. Fee Payment Being Made At This Time

- ☒ Enclosed
☒ basic filing fee

\$345.00

Total Fees Enclosed \$345.00

11. Method of Payment of Fees

- ☒ Check in the amount of \$345.00

12. Authorization To Charge Additional Fees and Credit Overpayment

- ☒ The Commissioner is hereby authorized to charge payment of any fees associated with this communication or credit any overpayment to Deposit Account No.: 08-1290. An originally executed duplicate of this transmittal is enclosed for this purpose.

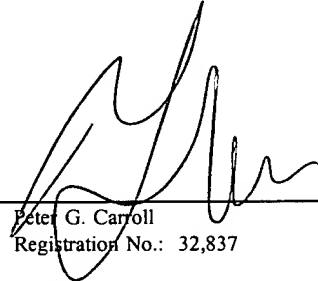
13. Power of Attorney by Assignee

- ☒ Enclosed

14. Return Receipt Postcard

- ☒ Enclosed

Dated: August 30, 2000


Peter G. Carroll
Registration No.: 32,837

MEDLEN & CARROLL, LLP
220 Montgomery Street, Suite 2200
San Francisco, California 94104
(415) 705-8410

☒ Incorporation By Reference Of Added Pages

- ☒ Plus Added Pages For New Application Transmittal Where Benefit Of Prior U.S. Application(s) Claimed

Number of pages added 1

ADDED PAGES FOR APPLICATION TRANSMITTAL
WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED

15. **Relate Back**

A. 35 U.S.C. § 119(e)

B. 35 U.S.C. §§ 120, 121 and 365(c)

☒ Amend the Specification by inserting before the first line the sentence: "This is a Continuation-In-Part of copending application(s) 09/387,671 filed on 08/31/99."

16. **Further Inventorship Statement Where Benefit Of Prior Application(s) Claimed**

a. This application discloses and claims additional disclosure by amendment and a new declaration or oath is being filed. With respect to the prior application, the inventor(s) in this application are
☒ the same.

09/387,671

Applicant / Patentee: Peter A. Ward *et al.*
For: **Compositions And Methods For The Treatment Of Sepsis**

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR §§ 1.9(f) and 1.27(d) - NONPROFIT ORGANIZATION)**

I hereby declare that I am an official empowered to act on behalf of the university (or other institution of higher education) identified below:

The Regents of The University of Michigan
3003 S. State Street, Ann Arbor, Michigan 48109-1280

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR § 1.9(e) for purposes of paying reduced fees under §§ 41(a) and (b) of Title 35, United States Code with regard to the invention entitled **Compositions And Methods For The Treatment Of Sepsis**, by inventors named **Peter A. Ward *et al.***, described in the specification filed herewith.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR § 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Date: _____

By: _____

Name: _____

Title: _____